UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/832,683	04/10/2001	Mark E. Rose	2072P	1899

			EXAMINER
7590	11/02/2004		GIANOLA, JOHN F

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ART UNIT	PAPER NUMBER
2135	

DATE MAILED: 11/02/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

	Application No.	Applicant(s)
Office Action Summary	09/832,683	ROSE, MARK E.
	Examiner	Art Unit	
	John F Gianola	2135	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE <u>3</u> MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

1)☒ Responsive to communication(s) filed on *10 April 2001*.

2a)☐ This action is **FINAL**.   2b)☒ This action is non-final.

3)☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

4)☒ Claim(s) *1-38* is/are pending in the application.

    4a) Of the above claim(s) _____ is/are withdrawn from consideration.

5)☐ Claim(s) _____ is/are allowed.

6)☒ Claim(s) *1-38* is/are rejected.

7)☐ Claim(s) _____ is/are objected to.

8)☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

9)☒ The specification is objected to by the Examiner.

10)☒ The drawing(s) filed on *10 April 2001* is/are: a)☒ accepted or b)☐ objected to by the Examiner.

    Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

    Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

11)☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

12)☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

    a)☐ All   b)☐ Some * c)☐ None of:

      1.☐ Certified copies of the priority documents have been received.

      2.☐ Certified copies of the priority documents have been received in Application No. _____.

      3.☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

    * See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

1)☒ Notice of References Cited (PTO-892)
2)☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
3)☐ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
    Paper No(s)/Mail Date _____.

4)☐ Interview Summary (PTO-413)
    Paper No(s)/Mail Date. _____ .
5)☐ Notice of Informal Patent Application (PTO-152)
6)☐ Other: _____.

Specification

1.   Applicant is reminded of the proper language and format for an abstract of

the disclosure:

> The abstract should be in narrative form and generally limited to a single
>
> paragraph on a separate sheet within the range of 50 to 150 words. It is
>
> important that the abstract not exceed 150 words in length since the space
>
> provided for the abstract on the computer tape used by the printer is
>
> limited. The form and legal phraseology often used in patent claims, such
>
> as "means" and "said," should be avoided. The abstract should describe
>
> the disclosure sufficiently to assist readers in deciding whether there is a
>
> need for consulting the full patent text for details.

> The language should be clear and concise and should not repeat
>
> information given in the title. It should avoid using phrases which can be
>
> implied, such as, "The disclosure concerns," "The disclosure defined by
>
> this invention," "The disclosure describes," etc.

Claim Rejections - 35 USC § 112

2.   The following is a quotation of the second paragraph of 35 U.S.C. 112:

> The specification shall conclude with one or more claims particularly pointing out and
> distinctly claiming the subject matter which the applicant regards as his invention.

3.   Claim 10 recites the limitation "step (g)" in line 1. There is insufficient

antecedent basis for this limitation in the claim. For this office action it is

assumed that Claim 10 is dependent on Claim 2, which does contain a step (g),

rather than Claim 9, which does not.

Claim Rejections - 35 USC § 102

4.   The following is a quotation of the appropriate paragraphs of 35

U.S.C. 102 that form the basis for the rejections under this section made in this

Office action:

> A person shall be entitled to a patent unless –
>
> (e) the invention was described in (1) an application for patent, published under section
> 122(b), by another filed in the United States before the invention by the applicant for patent or
> (2) a patent granted on an application for patent by another filed in the United States before
> the invention by the applicant for patent, except that an international application filed under
> the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an
> application filed in the United States only if the international application designated the United
> States and was published under Article 21(2) of such treaty in the English language.

5.   Claim 37 is rejected under 35 U.S.C. 102(e) as being anticipated by Pratt

"Method and System for Retrieving Documents Using Hyperlinks" (US PGP No.

2002/0087559 A1). Pratt discloses:

    A URL ticket for redirecting a URL request for a file on a content server

    from a client to a replica server comprising:

    A format in the a form of:

        Scheme://servername/.../basedir;parameters/subdir/.../file.extension

    where scheme represents "http" or "https," and the "server name"

represents a DNS name of a the replica server, and wherein each

parameter in the URL ticket includes a parameter name and a value:

Name1=value1;name2=value2;... (see Figure 3C and paragraph

[0037]).

Claim Rejections - 35 USC § 103

6.   The following is a quotation of 35 U.S.C. 103(a) which forms the basis for

all obviousness rejections set forth in this Office action:

> (a) A patent may not be obtained though the invention is not identically disclosed or described
> as set forth in section 102 of this title, if the differences between the subject matter sought to
> be patented and the prior art are such that the subject matter as a whole would have been
> obvious at the time the invention was made to a person having ordinary skill in the art to which
> said subject matter pertains. Patentability shall not be negatived by the manner in which the
> invention was made.

7.   The factual inquiries set forth in *Graham* v. *John Deere Co.*, 383 U.S. 1,

148 USPQ 459 (1966), that are applied for establishing a background for

determining obviousness under 35 U.S.C. 103(a) are summarized as follows:

        1.   Determining the scope and contents of the prior art.
        2.   Ascertaining the differences between the prior art and the claims at
                issue.
        3.   Resolving the level of ordinary skill in the pertinent art.
        4.   Considering objective evidence present in the application indicating
                obviousness or nonobviousness.

8.   Claims 1, 3-7, 12, 13, 15-19, 24, 25, 27-31, and 36 are rejected under 35

U.S.C. 103(a) as being unpatentable over Pratt, in view of the FileNet Enterprise

Content Management Functionality sheet (see the attached Notice of References

Cited).

9.   As to claims 1, 13, and 25, Pratt discloses:

In response to receiving a URL request from a client for a file from the first

server, determining if a user of the client has been granted authorization to

access the file (see Pratt: paragraph [0028]).

Pratt also discloses generating and appending information to a URL to locate a

file, and thus discloses:

Generating a ticket that includes an identifier identifying the particular file

on the second sever if the user has been granted authorization access

(see Pratt: paragraph [0029]);

Pratt also discloses:

Creating a redirect URL ticket to the file on the second server by

(i). Modifying the client's URL request to identify the second server;

and

(ii). Augmenting the URL request with the ticket authorizing access

to the particular file (see Pratt: paragraphs [0028], [0045], and

[0046]); and

returning the redirect URL ticket to the client, such that the client

uses the redirect URL to request the file from the second server

(see Pratt: paragraphs [0046]).

While Pratt does teach the use of a document management system, he does not,
specifically teach allowing a content originator to publish a file on a first server, or
specifying user authorization for a particular file, or file replication.
The FileNet Functionality Sheet, on the other hand, does disclose:

> allowing a content originator to publish a file on a first server and to
> specify what users are authorized to access the file;
>
> replicating the file from the first server on a second server.

It would have been obvious to one of ordinary skill in the art at the time of the
invention to combine Pratt's method with FileNet's product because Pratt
discuses the need for a document management system and FileNet provides a
commercial option.

10.   With regards to Claims 3, 15, and 27, Pratt further discloses:

> The web browser has not been customized to request tickets (see Pratt:
> paragraphs [0027] and [0003]).

11.   With respect to Claims 4, 16, and 28, the FileNet Functionality sheet
further discloses:

> Allowing the content originator to specify what access privileges each user
> has with respect to the files, the access privileges including read, write,
> and delete.

12.   With regards to Claims 5, 17, and 29, the FileNet Functionality sheet

further discloses:

        Allowing the access controls to be specified before and after the file is

        replicated onto the second server.

13.   With respect to Claims 6, 18, and 30, Pratt and the FileNet Functionality

sheet further disclose:

        Storing the name of the file in a database along with access privilege

        specifed for the file, and when a user makes a request to access the file,

        looking up the name of the file in the database and determining if the user

        has been granted access to the file (see Pratt: paragraphs [0025] and

        [0026]).

14.   With respect to Claims 7, 19, and 31, Pratt further discloses:

        Generating the URL ticket in the form:

                Scheme://servername/.../basedir;parameters/subdir/.../file.extension

        (see Pratt: Figure 3C and paragraph [0037]).

15.   With respect to Claims 12, 24, and 36, Pratt and the FileNet Funtionality

sheet further disclose:

        Providing a content server as the first server and providing at least one

        replica server as the second server (see Pratt: paragraph [0025]).

16.   Claims 2, 8-11, 14, 20-23, 26, and 32-35 are rejected under 35 U.S.C.

103(a) as being unpatentable over Pratt, in view of the FileNet Enterprise

Content Management Functionality sheet, and further in view of Reiche "HTTP

Distributed Remote User Authentication System" (US Pat. No. 6,092,196).

17.   As to claims 2, 14, and 26, Pratt and the FileNet Functionality sheet

disclose the limitations of Claims 1, 13, and 25 above. Pratt and the Filenet

Functionality sheet disclose using URL tickets with security, but do not specify

the verification of those tickets. Reiche, however, also teaches security with URL

tickets and does disclose:

> Verifying the ticket on the second server and returning the requested file
>
> (see Reiche: column 6, lines 21-36).

It would have obvious for one of ordinary skill in the art at the time of the

invention to combine Pratt's invention with Reiche's system in order to further

secure Pratt's method.

18.   With respect to Claims 8, 20, and 32, Pratt discloses access security (see

paragraph [0028]) and the issuing of tickets in a URL (see paragraphs [0045] and

[0046]), but does not mention using these specific parameters in his URL ticket.

However, Reiche teaches security with URL tickets and does disclose:

> Placing into the URL ticket a path parameter, a start parameter, a use-by
>
> parameter, an end parameter, a uid parameter, a clientid parameter, a

sessionid parameter, and referrer parameter, and a message authentication code (MAC) (see Reiche: column 4, lines 63 to column 5, line 4).

It would have obvious for one of ordinary skill in the art at the time of the invention to combine Pratt's invention with Reiche's system in order to further secure Pratt's method.

19.   With respect to Claims 9, 21, and 33, Reiche teaches security with URL tickets and discloses:

> Binding a combination of "basedir+path+sessionid" to an IP address of the client at first use of the URL ticket (see Reiche: column 11, lines 45-58).

20.   With respect to Claims 10, 22, and 34, Pratt and the FileNet sheet disclose using URL tickets to access content with security, but not specifically verifying the URL tickets. Reiche teaches security with URL tickets and discloses:

> Verifying the URL ticket as valid when:
>
> (i) the MAC is correct,
>
> (ii) a current time is between values of the start and use-by parameters, or the "basedir+path+sessionID" combination has previously been sued for the same IP address,

(iii) the "basedir+path+sessionID" combination has not been used from a

different IP address, and

(iv) the URL requests a file that is in a subtree rooted by basedir+"/"path

(see Reiche: column 4, line 64 to column 5, line 11; column 5, lines 55-61;

column 6, lines 28-31).

It would have obvious for one of ordinary skill in the art at the time of the

invention to combine Pratt's invention with Reiche's system in order to further

secure Pratt's method.

21.   With respect to Claims 11, 23, and 35, Reiche teaches security with URL

tickets. Reiche and Pratt together disclose:

(i) issuing a transfer ticket from the first server to the client when the first

server needs to redirect the client to the second server (see Pratt:

paragraph [0029]),

(ii) recognizing by the second server the transfer ticket in a response from

the client (see Reiche: column 5, lines 55-58),

(iii) redirecting the client back to the second server with a URL ticket (see

Reiche: column 6, lines 9-14 and Pratt: paragraph [0045]), and

(v) verifying the ticket on the second server and returning the requested

file (see Reiche: column 6, lines 26-37).

It would have obvious for one of ordinary skill in the art at the time of the invention to combine Pratt's invention with Reiche's system in order to further secure Pratt's method.

22.   Claim 38 is rejected under 25 U.S.C. 103(a) as being unpatentable over Pratt in view of Reiche. Pratt discloses the limitations of Claim 37, as noted above, but does not teach the specific parameters in the URL ticket of Claim 37. Reiche, however, also teaches security with URL tickets and does disclose:

> The parameters include a path parameter, a start parameter, a use-by parameter, an end parameter, a uid parameter, a clientid parameter, a sessionid parameter, a referrer parameter, and a message authentication code (MAC) (see Reiche: column 4, line 63 to column 5, line 11).

It would have obvious for one of ordinary skill in the art at the time of the invention to combine Pratt's invention with Reiche's system in order to further secure Pratt's method.

Conclusion

23.   The prior art made of record and not relied upon is considered pertinent to applicant's disclosure. This includes: Schloss "System and Method for Controlling Access to Data Located on a Content Server" (US Pat. No. 5,706,507); Richard Huff "Eastman Software raft of products" (see attached Notice of References Cited); Hui Luo "A Server-Independent Password Authentication Method for

Access-Controlled Web Pages" (see attached Notice of References Cited); and

the DMX Overview sheet from Eastman Software (see attached Notice of

References Cited).

24.   Any inquiry concerning this communication or earlier communications from

the examiner should be directed to John F Gianola whose telephone number is

(703) 605-4321. The examiner can normally be reached on Mon - Fri (8:30 -

5:00).

If attempts to reach the examiner by telephone are unsuccessful, the examiner's

supervisor, Kim Vu can be reached on (703) 305-4393. The fax phone number

for the organization where this application or proceeding is assigned is 703-872-
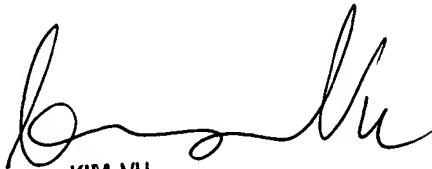
9306.

25.   In October of 2004, Technology Center 2100 will be relocating to the US

Patent and Trademark Office's facility in Alexandria, VA. After that date, calls to

John F Gianola should be directed to (571) 272-3848. Likewise, the telephone

number for Technology Center 2100 will change to (571) 272-2100.

26.   Information regarding the status of an application may be obtained from

the Patent Application Information Retrieval (PAIR) system. Status information

for published applications may be obtained from either Private PAIR or Public

PAIR. Status information for unpublished applications is available through

Private PAIR only. For more information about the PAIR system, see http://pair-

direct.uspto.gov. Should you have questions on access to the Private PAIR

system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-

free).

jfg

KIM VU
SUPERVISORY PATENT EXAMINER
TECHNOLOGY CENTER 2100